

521085-0356297 (UBS0035-US)



*ZFW*  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|   |   |
|---|---|
| In re Application of:<br><br>RENATO STAUB<br><br>Serial No.: 10/810,107<br><br>Filed: MARCH 26, 2004<br><br>For: METHOD AND COMPUTER<br>PROGRAM FOR TAX SENSITIVE<br>INVESTMENT PORTFOLIO<br>MANAGEMENT | Art Unit: 3627<br><br>Examiner: Unknown |
|---|---|

**SUBMISSION OF REVOCATION AND APPOINTMENT OF POWER  
OF ATTORNEY AND SUBMISSION UNDER 37 C.F.R. §3.73(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicant hereby submits the attached Revocation of Power of Attorney and Grant of Power of Attorney in the above-identified application. Also, submitted herewith is a Statement under 37 C.F.R. §3.73 establishing the right of the assignee to take action in the above-identified application. Should there be any questions with respect to this submission, a representative of the U.S. Patent and Trademark Office is requested to contact the undersigned.

If any fees are necessary to act upon this request, the Patent Office is authorized to charge Deposit Account No. 03-3975.

Respectfully submitted,

RENATO STAUB

Date: August 11, 2006

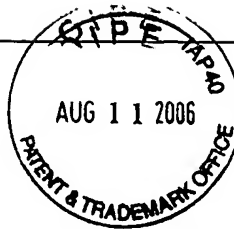
By:

*for Lawrence D. Lin (41,009)*  
Michael Bednarek

Registration No. 32,329  
PILLSBURY WINTHROP SHAW PITTMAN LLP  
1650 Tysons Boulevard  
McLean, VA 22102

Customer No. 00909

521085-0356297 (UBS0035-US)



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

RENATO STAUB

Serial No.: 10/810,107

Filed: MARCH 26, 2004

For: METHOD AND COMPUTER  
PROGRAM FOR TAX SENSITIVE  
INVESTMENT PORTFOLIO  
MANAGEMENT

Art Unit: 3627

Examiner: Not yet Assigned

REVOCATION AND APPOINTMENT OF POWER OF ATTORNEY

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Honorable Sir:

UBS AG, owner of the above-identified patent application, as evidenced by the attached Statement under 37 C.F.R. § 3.73(b) and executed Assignment, hereby revokes all previous Powers of Attorney in the above-identified patent application, and appoints the registered attorneys and agents associated with Pillsbury Winthrop Shaw Pittman LLP, Customer No. 00909, to prosecute this application.

Please send correspondence to: Michael Bednarek  
Pillsbury Winthrop Shaw Pittman LLP  
1650 Tysons Blvd.  
McLean, VA 22102

Dated: x August 13, 2006

By: x Robert A. Stewart, Esq.

Name: Robert A. Stewart, Esq.

Title: Director and Chief Patent Counsel of  
Americas

For Assignee: UBS AG

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: UBS AG, ZURICH, SWITZERLAND

Application No./Patent No.: 10/810,107 Filed/Issue Date: MARCH 26, 2004

Entitled: METHOD AND COMPUTER PROGRAM FOR TAX SENSITIVE INVESTMENT PORTFOLIO MANAGEMENT

UBS AG, a CORPORATION

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 015153, Frame 0801, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

X August 10, 2006  
Date

212-713-1169  
Telephone number

ROBERT A. STEWART  
Typed or printed name

X [Signature]  
Signature

Dir. & Chief Patent Counsel of Americas

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



5333-3

**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

SEPTEMBER 21, 2004

PTAS

BROWN RAYSMAN MILLSTEIN FELDER ET AL.  
LESLIE GLADSTONE RESTAINO  
163 MADISON AVENUE  
P.O. BOX 1989  
MORRISTOWN, NJ 07962-1989



\*102710288A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/26/2004

REEL/FRAME: 015153/0801  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

STAUB, RENATO

DOC DATE: 03/25/2004

ASSIGNEE:

UBS AG

BAHNHOFSTRASSE 45

ZURICH, SWITZERLAND CH-8001

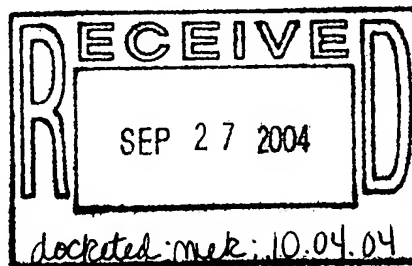
SERIAL NUMBER: 10810107

FILING DATE: 03/26/2004

PATENT NUMBER:

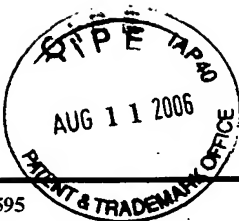
ISSUE DATE:

TITLE: METHOD AND COMPUTER PROGRAM FOR TAX SENSITIVE INVESTMENT PORTFOLIO  
MANAGEMENT



015153/0801 PAGE 2

ANTIONE ROYALL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



04-01-2004

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(Rev. 10/02)

RI

OMB No. 0651-0027 (exp. 6/30/2005)

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U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Renato Staub

3.26.04

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other \_\_\_\_\_

Execution Date: 03/25/04

2. Name and address of receiving party(ies)

Name: UBS AG

Internal Address: \_\_\_\_\_

Street Address: Bahnhofstrasse 45

CH-8001 Zurich, Switzerland

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Additional name(s) & address(es) attached? ☐ Yes ☒ No17510 U.S. PTO  
10/810107

032604

4. Application number(s) or patent number(s):

10810107

If this document is being filed together with a new application, the execution date of the application is: 03/26/04

A. Patent Application No.(s) \_\_\_\_\_

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Leslie Gladstone Restaino

Internal Address: \_\_\_\_\_

Brown Raysman Millstein Felder &amp; Steiner LLP

Street Address: 163 Madison Avenue

P.O. Box 1989

City: Morristown State: NJ Zip: 07962-1989

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00



Enclosed



Authorized to be charged to deposit account

8. Deposit account number:

02-4270

DO NOT USE THIS SPACE

9. Signature.

Leslie Gladstone Restaino

Name of Person Signing

Signature

March 26, 2004

Date

Total number of pages including cover sheet, attachments, and documents: 2

03/31/2004 ECOOPER 00000137 024270

01 FC:8021

40.00 DA

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

## ASSIGNMENT

Assignment before issue of Letters Patent

Docket No. 5333-3

WHEREAS, I, Renato Staub, a resident of Northfield, County of Cook, State of Illinois, (hereinafter "Assignor") have invented certain new and useful improvements in **METHOD AND COMPUTER PROGRAM FOR TAX SENSITIVE INVESTMENT PORTFOLIO MANAGEMENT** (hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF THE UNITED STATES, which application has been duly executed by Assignor on the day(s) and date(s) of these presents.

AND WHEREAS, UBS AG, a corporation organized and existing under the laws of Switzerland, having a place of business at Bahnhofstrasse 45, CH-8001 Zurich, Switzerland, hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within the United States of America and its territorial possessions and all foreign countries and any United States or foreign LETTERS PATENT that may be granted therefor.

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said Assignee the entire right, title and interest in and to the said invention, within the United States of America and its territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues, continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by treaty, including any international convention, for the protection of industrial property, together with the right to extend the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining, sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly in cases of interference, conflict, opposition and litigation.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 25<sup>TH</sup> day of MARCH, 2004  
Renato Staub  
 Renato Staub

STATE OF Illinois )  
 ) ss:  
 COUNTY OF Cook )

On this 25<sup>th</sup> day of March, 2004 before me came Renato Staub, to me known and known to me to be the individual described in, and who executed the foregoing instrument, and he acknowledged to me that he/she has executed the same.

RENITTA JACOBS  
 (SEAL) NOTARY PUBLIC, STATE OF ILLINOIS  
 MY COMMISSION EXPIRES 10-23-2004

Renitta Jacobs

Notary Public

My commission expires:

BEST AVAILABLE COPY